	X	
	:	Chapter 11
In Re	:	Case No. 18-23538 (RDD)
SEARS HOLDING CORPORAT	ION, et al.,	
Debtors		(Jointly Administered)
AND THE PROPERTY OF THE PROPER	X	

Claim # 18004/USD 18,000. Claim #17342/USD 32,000.

Maria Muller 17 Wallingford Dr. Melville, NY 11747

Please do not allow Sears Corporation to (i)reclassify to general unsecured claims, as I own second lien PIK notes and purchased these specifically based they were secured bonds.

11/5/2021

Scott M. Fitzgerald/Authorized Agent

President

Steel Ridge Advisors

1377 Motor Pkwy, Suite 204

Islandia, NY 11749

sfitzgerald@steelridgeadvisors.com

(631) 353-0003

					ý O
SEARS HOLDINGS S	ears Holdi	ngs Corpor	ation (18·	-23538) <sub>i</sub>	Contact 844,384,4460 Client Log
Case Info Docket	Claims Submit a	a Claim - Submit In	quiry		Search Docket Search Claim
			parjor(organizational)		Q Enter number or name
Schedule Claim#	Filed Date Cre	namente embragatura promonente mentre de septembre de deserte	otor Name	Claim Value	Select scope Claims Only
18004\$	04/10/2019 Mui		rs Holdings coration	\$ 18,000.00	Claim Number(s)(e.g. 1.3,5-7)
Creditor D	ata Details f	or Claim #1	8004		Schedule Number
Creditor Maria Debtor Name Sears Holdings Corpo	ration	Date Filed 04/10/20: Claim Numb 18004			Creditor name
Schedule Number	rageri	Proof of Cla View PC	im )F <sup>®©</sup> Email PDF		Debtor(s)
Sch	edule Amount C'UD*	Asserted Claim Amount C'UF		nt Claim Status e	Sears Holdings Corporation(18-23538)
General Unsecured		~~~			Select Classification Select an Option
Priority					Select Search Operator
Secured		\$18,000.00	\$18,000.00	Asserted	Select an Option  Amount
503(b)(9) Admin Priority					Date from Date to
Admin Priority					Date from Date to
Total	\$0.00	\$18.000.00	\$ 18,000.00	•	Search Claim
-	iquidated, D=Disputed,	-			<u>Reset</u>
Prime Clerk maintains the for general informational is cautioned NOT to rely Website, and any user of from taking any action buncluded on this website.	s website for the public's co purposes only. Anyone usi on any information contains this website should not tak used upon anything included We are not a law firm or a	nvenience and ng this website d on this e or refrain or not substitute for	Open in ne	w window	
	Page	1 of 1 25 v	<u> </u>	View 1 · 1 of 1	

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						Contact 844.384,4460 CI	ient L
ARS HOLD	ings s	ears Hol	dings Cor	poration	(18-23538)	CHANCE TASE	
se Info	Docket	Claims Sub	mit a Claim Sul	omit Inquiry		Search Docket Search	Clair
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						Select scope	
Schedule	Claim #	Filed Date	Creditor Name	Debtor Name	Claim Value	Claims Only	************
	18004\$	04/10/2019	Mulier, Maria	Sears Holdings Corporation	\$ 18,000.00	Claim Number(5)(e.g. 1,3,	5-7)
						18004	**********
Cred	litor Da	ata Detail	s for Claim	# 18004		Schedule Number	
Creditor	daria.			e Filed			
Mulier, M - Debtor N	lame		Clai	/10/2019 m Number 304		Creditor name	***************************************
Sears Ho Schedule	ildings Corpo Number	ration	Pro	of of Claim /iew PDF 🖾 Emai	il PNF	0-1-1-1	**********
						Debtor(s)	
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	lettor to identity the	case (Select only or			): _		
Sears Holdings Corporati (18-23538)	ion Kmart Corporation (18-23549)	Sears, Roebuck Rico, Inc. (18-2:		MyGofer LLC (18-23573)		Kmart.com LL (18-23585)	<u> </u>
Sears, Roebuck and Co. (18-23537)	MaxServ, Inc. (18-23550)	SYW Relay LL0 (18-23562)	Ç	Sears Brands Bu Corporation (18-		Sears Brands M Corporation (18	
Kmart Holding Corporati (18-23539)		Wally Labs LLC		Sears Holdings l Company, LLC	ublishing	SHC Licensed LLC (18-23616	Business
Kmart Operations LLC	Sears Development (			Kmart of Michi		SHC Promotion	
(18-23540) Sears Operations LLC	(18-23552) Sears Holdings Man			(18-23576) SHC Desert Spr	ings, LLC	(18-23630) SRe Holding C	orporation
(18-23541) ServiceLive, Inc.	Corporation (18-235) Sears Home & Busin		Appliances Inc.	(18-23577) SOE, Inc.	<u> </u>	(19-22301)	
(18-23542) A&E Factory Service, LL	Franchises, Inc. (18-	23354) (18-23566)		(18-23578)			
(18-23543)	Products, Inc. (18-23	555) (18-23567)	c.	StarWest, LLC (18-23579)			
A&E Home Delivery, LL (18-23544)	.C Sears Insurance Serv L.L.C. (18-23556)	ices, KLC, Inc. (18-23568)		STI Merchandis (18-23580)			
A&E Lawn & Garden, LI (18-23545)	C Sears Procurement S Inc. (18-23557)			Troy Coolidge 1 LLC (18-23581			
Á&E Signature Service, I	LC Sears Protection Con	pany Kniart of Washii		BlueLight.com,	_		
(18-23546) PBA Holdings Inc.	(18-23558) Sears Protection Con	i (18-23570)  opany Kmart Stores of	Illinois LLC	1(18-23582) Sears Brands, L	.L.C.		
(18-23547) Innovel Solutions, Inc.	(PR) Inc. (18-23559) Sears Roebuck Acce		TevacIIC	(18-23583) Sears Buying Se	rvices		
(18-23548)	Сотр. (18-23560)	(18-23572)	Texas EDC	Inc. (18-23584)	A VICES.		
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5. Do you know if anyone else has filed a proof of claim for this claim?

☑ No

Yes. Who made the earlier filing?

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6. Do you have any number you use to identify the debtor?	□ No ☑ Yes. Last 4 digits of the debtor's account or any number you use to identify the debtor: 9 3 5 6
7. How much is the claim?	\$ Does this amount include interest or other charges?
	Yes. Attach statement itemizing interest, fees, expenses, or other charges required by Bankruptcy Rule 3001(c)(2)(A).
3. What is the basis of the claim?	Examples: Goods sold, money loaned, lease, services performed, personal injury or wrongful death, or credit card.  Attach redacted copies of any documents supporting the claim required by Bankruptcy Rule 3001(c).  Limit disclosing information that is entitled to privacy, such as health care information.
). Is all or part of the claim secured?	☐ No ☑ Yes. The claim is secured by a lien on property.
	Nature of property:
	Real estate. If the claim is secured by the debtor's principal residence, file a Mortgage Proof of Claim  Attachment (Official Form 410-A) with this Proof of Claim.
	☐ Motor vehicle ☐ Other, Describe: SEARS HLDGS CORP. 6 5/8% SENIOR SECURED NOTE →
	10/15/16
	Basis for perfection:
	Attach redacted copies of documents, if any, that show evidence of perfection of a security interest (for example, a mortgage, lien, certificate of title, financing statement, or other document that shows the lien has been filed or recorded.)
	example, a mortgage, lien, certificate of title, financing statement, or other document that shows the lien has
	example, a mortgage, lien, certificate of title, financing statement, or other document that shows the lien has been filed or recorded.)
	example, a mortgage, lien, certificate of title, financing statement, or other document that shows the lien has been filed or recorded.)  Value of property:  \$
	example, a mortgage, lien, certificate of title, financing statement, or other document that shows the lien has been filed or recorded.)  Value of property:  \$  Amount of the claim that is secured:  \$  (The sum of the secured and unsecured)
	example, a mortgage, lien, certificate of title, financing statement, or other document that shows the lien has been filed or recorded.)  Value of property:  \$  Amount of the claim that is secured:  \$  The sum of the secured and unsecured amounts should match the amount in line 7.
O. is this claim based on a	example, a mortgage, lien, certificate of title, financing statement, or other document that shows the lien has been filed or recorded.)  Value of property:  Amount of the claim that is secured:  Amount of the claim that is unsecured:  (The sum of the secured and unsecured amounts should match the amount in line 7.  Amount necessary to cure any default as of the date of the petition:  Annual Interest Rate (when case was filed)  Fixed
O. Is this claim based on a lease?	example, a mortgage, lien, certificate of title, financing statement, or other document that shows the lien has been filed or recorded.)  Value of property:  Amount of the claim that is secured:  Amount of the claim that is unsecured:  (The sum of the secured and unsecured amounts should match the amount in line 7.  Amount necessary to cure any default as of the date of the petition:  Annual Interest Rate (when case was filed)  Fixed  Variable
	example, a mortgage, lien, certificate of title, financing statement, or other document that shows the lien has been filed or recorded.)  Value of property:  Amount of the claim that is secured:  Amount of the claim that is unsecured:  (The sum of the secured and unsecured amounts should match the amount in line 7.  Amount necessary to cure any default as of the date of the petition:  Annual Interest Rate (when case was filed)  Fixed  Variable

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12 le all or part of the claim	- <del> </del>			······································	4 6 10 forms a miles file flower and files of Files of State of St	
12. Is all or part of the claim entitled to priority under 11 U.S.C. § 507(a)?		ck one:				Amount entitled to priority
A claim may be partly priority and partly	Domes 11 U.S	sfic support obligations (includir S.C. § 507(a)(1)(A) or (a)(1)(B).	ng alimony and child su	upport) ur	nder	\$
nonpriority. For example, in some categories, the law limits the amount entitled to priority.	Up to to persor	\$2,850* of deposits toward purc nal, family, or household use. 1	chase, lease, or rental (1 U.S.C. § 507(a)(7).	of proper	ty or services for	\$
	bankru	s, salaries, or commissions (up uptcy petition is filed or the debt s.C. § 507(a)(4).				\$
	☐ Taxes	or penalties owed to governme	ntal units. 11 U.S.C. §	507(a)(8	·).	\$
	☐ Contrib	outions to an employee benefit	plan. 11 U.S.C. § 507(a	a)(5).		\$
	Other.	Specify subsection of 11 U.S.C	c. § 507(a)( ) that ap	plies.		\$
	* Amounts a	are subject to adjustment on 4/01/19	and every 3 years after th	nat for case	es begun on or after t	ne date of adjustment.
13. Is all or part of the	<b>☑</b> No					
claim entitled to administrative priority pursuant to 11 U.S.C. § 503(b)(9)?	by the Deb which the	ate the amount of your claim a stor within 20 days before the goods have been sold to the usiness. Attach documentation	date of commencem Debtor in the ordinar	ent of th y course	ie above case, in	\$
Part 3: Sign Below						
The person completing this proof of claim must sign and date it. FRBP 9011(b).  If you file this claim electronically, FRBP 5005(a)(2) authorizes courts to establish local rules specifying what a signature is.  A person who files a fraudulent claim could be fined up to \$500,000, imprisoned for up to 5 years, or both.  18 U.S.C. §§ 152, 157, and 3571.	I am the tru I am a gual I understand the amount of the c I have examined and correct. I declare under Executed on da Signature Print the name	editor. editor's attorney or authorized a ustee, or the debtor, or their autorantor, surety, endorser, or other at an authorized signature on the laim, the creditor gave the debtor of the information in this Proof of penalty of perjury that the foregate of the person who is complete erson who is completing and SCOTT M FITZGERAL	thorized agent. Bankrupton codebtor. Bankrupton is Proof of Claim serve or credit for any payment f Claim and have a readoing is true and correctly by the company of this signing this claim:	y Rule 30 es as an ents rece esonable	005. acknowledgment ti sived toward the de	bt.
		First name PRESIDENT	Middle name		Last name	
	Title	STEEL RIDGE ADVIS				
	Company	Identify the corporate servicer at		orized age	nt is a servicer.	
	Address	1377 MOTOR PKWY, Number Street ISLANDIA	SUITE 204	NY	11749	
	Contact phone	city 631-353-0003		State	ZIP Code	teelridgeadvisors.com
	Contact phone	001-000-0000		Email	SINCHEL GICIONS	Comuycauvisuis.com

ENV# CEBGWBCPBBDQGPX BBBBD ROYAL ALLIANCE ASSOCIATES INC. 10 EXCHANGE PLACE, SUITE 1410 JERSEY CITY, NJ 07302

MARÍA MULLER TOD NORBERT MULLER 17 WALLINGFORD DR MELVILLE NY 11747

STATEMENT FOR THE PERIOD MARCH 1, 2019 TO MARCH 31, 2019

MARIA MULLER - Individual TOD Account Number: RQ4-000811 TOTAL VALUE OF YOUR PORTFOLIO

For questions about your accounts:

YOUR FINANCIAL ADVISOR IS:

SCOTT FITZGERALD

RR#: AZP

\$395,535.80

CHANGE IN VALUE OF YOUR PORTFOLIO 417.102 \$ thousands

12/18 01/19 02/19 03/19 Change In Value Of Your Portfolio information can be found in Miscellaneous Footnotes at the end of this 05/18 06/18 07/18 08/18 09/18 10/18 11/18 401.644 386.186 370.727 355,269

Account carried with National Financial Services LLC, Member

statement.

NYSE, SIPC

MN \_CEBGWBCPBBDQGPX\_BBBBD 20190329

Royal Alliance Associates, Inc.

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Statement for the Period March 1, 2019 to March 31, 2019

MARIA MULLER - Individual TOD Account Number: RQ4-000811

#### Account Overview

CHANGE IN ACCOUNT VALUE	Current Period	Year-to-Date	_
BEGINNING VALUE	\$394,075.73	\$355,269.91	
Additions and Withdrawals	\$0.00	(\$1,869.74)	
Income	\$641.10	\$1,051.69	
Taxes, Fees and Expenses	\$0.00	(\$884.01)	
Other Activity	\$0.00	\$15.60	
Change in Value	\$818.97	\$41,952.35	
ENDING VALUE (AS OF 03/31/19)	\$395,535.80	\$395,535.80	
Total Accrued Interest	\$0.09		
Ending Value with Accrued Interest	\$395,535.89		

Refer to Miscellaneous Footnotes for more information on Change in Value.

INCOME		
TAXABLE	Current Period	Year-to-Date
Taxable Dividends	\$639.45	\$1,049.53
Taxable Interest	\$1.65	\$2.16
TOTAL TAXABLE	\$641,10	\$1,051.69
TOTAL INCOME	\$641.10	\$1,051.69

Taxable income is determined bused on information available to NFS at the time the statement was prepared, and is subject to change. Final information on taxation of interest and dividends is available on Form 1099-Div, which is mailed in February of the subsequent year. Year-to-Date (\$884.01) (\$884.01)

Current Period

\$0.00 \$0.00

TOTAL TAXES, FEES AND EXPENSES

TAXES, FEES AND EXPENSES

Account Fees

1	mont was	as is determined based on information available to NFS at the time the statement was	a is determined has ed on infor-
Attacation for equities, nestions, NFS has mad	\$1,051.69	\$641.10	OME
Account Allocation sh	\$1,051.69	\$641.10	(ABLE
IOIAL	\$2.16	\$1.65	erest
TOTAL	\$1,049.53	\$639.45	ídends
Fixed Income	Year-to-Date	Cirrent Period	
Equities			
Bank Deposits		mana manananananan mananan mananan mananan mengan mengan mengan mengan mengan mengan mengan mengan mengan menga	oppoporate popolitica de la compania
Money Markets			

SIL E E E E E ANT WIS LITTH MANN OF ENTENT  Reculifies and dativey Services offered through Repolatione Associates, inc. whether Philosogram  Securifies and dativey Services offered through Repolations, inc. whether Philosogram  Services of the Anticome Services of through Repolatione Associates, inc. whether Philosogram  ACCOUNT ALLOCATION  Bank Deposites 3.4%  Fixed Income 15.8%	Equities 80.8%
	glo l

	Регсені	Prior Period	Current Period
Money Markets	% 0.0	\$13,576.83	\$0.00
Bank Deposits	3.4	\$0.00	\$13,585.94
Equities	80.8	\$316,543.92	\$319,328.04
Fixed Income	15.8	\$63,954.98	\$62,621.82
TOTAL	100.0 %	\$394,075.73	\$395,535.80

rde assumptions concerning how certain mutual funds are altocated. Closed-and mutual funds and Exchange Traded Products (ETPs) listed on an exchange may be included in the equity allocation. The chart may not reflect your actual portfolio allocation. Cousult your broker/dealer prior to making investment decisions.

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### Account Overview continued

#### MESSAGES AND ALERTS

DRS - Direct Registration System Transfer Agent Fee Effective May 1, 2014, three transfer agents. Computershare, Wells Fargo, and Registrar and Transfer Company are implementing a \$15 transfer fee for each position moved into your brokerage account via book entry Direct Registration System - DRS. If the fee is charged by the agent, NFS will pass through the charge to the account. As a reminder, there is already an existing fee charged to accounts for outgoing DRS transfers. Please contact your Financial Advisor if you have any questions regarding this fee.

Beginning in January 2019. National Financial Services will enhance the end-investor statement with the following changes. Payee details will be displayed within Activity Sections Description field for transactions that have associated Payee information. A summary level total of Short Dividends charged will be reported within the Account Overview section. Change in Value of Your Portfolio graph will show minimum and maximum scaling on the Y axis, include Negative values and, use clearer data points for information displayed.

National Financial Services LLC NFS is required by the Securities Exchange Act of 1934 to provide certain financial information from its Statement of Financial Condition. At December 31, 2018, NFS, an affiliate of Fidelity Brokerage Services LLC, had net capital of \$4,012 million, which was 13.67 percent of aggregate debit items and exceeded its minimum requirement by \$3.425 million. To acquire the Statement of Financial Condition. Iog on to www.mybrokerageinfo.com. If you wish to obtain a copy of this document at no cost, please call 800-439-5627.

Royal Alliance Associates, Inc.

Account carried with National Financial Services LLC, Member NYSE, SIPC

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Statement for the Period March 1, 2019 to March 31, 2019

MARIA MULLER - Individual TOD Account Number: RQ4-000811



#### Holdings

NFS-provided cost basis, realized gain (loss) and holding period information may not reflect all adjustments necessary for lax purposes. Please refer to Footnotes and Cost Basis Information at the end of this statement for more information.

Al (Accrued Interest) - Represents interest accumulated since the last coupon date, but not yet paid by the issuer or received by NFS. There is no guarantee that Al will be paid by the issuer

For additional information regarding your holdings, please refer to the footnotes at the end of the statement

## CASH AND CASH EQUIVALENTS - 3.43% of Total Account Value

13,585.94 \$1.00 \$13,585.94			613 RBE 04
QAGCQ	CASH		
ADVISOR GROUP INS DEPOSIT PROGRAM	(CONSUMER-TIERED)	Estimated Arrjual Yield 0.19%	Total Cook and Cook Warminglante

## rotal Cash and Cash Equivalents

HOLDINGS > FIXED INCOME - 0.55% of Total Account Value

For an explanation of fixed income pricing, please see the last page. Redemption schedule(s), bond rating(s), and other information are provided where available. If information does not appear regarding a particular statement are provided by Standard & Poor's and/or Moody's to rate the quality based on the respective rating agency's assessment. Ratings information from Standard & Poor's ("S&P") may not be reproduced. S&P credit ratings are statements of polinion and are not statements of fact or recommendations to purchase, Indi, or sell securities, nor do they address the suitability of securities for investment purposes, and should not be relied on as investment advice. S&P does not guarantele the accuracy, completeness or availability of any information, including ratings, and send for envisations (negligent or otherwise). S&P gives no express or implied warrantles. Including but not limited to any warrantles of merchaniability or fitness for a particular purpose or use. Sets shall not be liable for any direct, incliding lost income or profits and opportunity costs) in connection with any use of ratings.

Estimated

Estimated

	Symbol/Cusip		Price on	Current	Estimaled	Original/Adjusted	Unrealized
Description	Account Type	Quantity	03/31/19	Market Value	Annual Income	Cost Basis	Gain (Loss)
Asset Backed Securities		4,4,0					
GOVT NATL MTG ASSN II POOL #1578	36202BXF7	55,000	\$101,238	\$31.57	\$2.81	\$31.19 T	\$0.38
9.00000% 03/20/2021	CASH						
CPN PMT MONTHLY							

Royal Alliance Associates, Inc.

Account carried with National Financial Services LLC, Member NYSE, SIPC Page 4 of 14

Account carried with National Financial Services LLC, Member NYSE, SIPC

## Statement for the Period March 1, 2019 to March 31, 2019

MARIA MULLER - Individual TOD Account Number: RQ4-000811



continued
INCOME
FIXED
OLDINGS >
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Description	Symbol/Cusip Account Type	Quantity	Estimated Price on 03/31/19	Estimated Current Market Value	Estimated Annual Income	Original/Adjusted Cost Basis	Unrealized
GOVT NATL MTG ASSN II POOL #1578 Next Interest Poyable: 04/20/19 Factor 0.00056886 Current lace 331 Accused Interest \$0.09 Average Unit Cost \$0.06 Corrporate Bonds	36202BXF7	confinned					
SEARS HLDGS CORP NOTE CALL MAKE WHOLE 6.62500% 10/15/2018 MOODY'S WR CPN PMT SEMI-ANNUAL ON OCT 15, APR 15 CONTINUOUSLY CALLABLE IN MONETARY DEFAULT Average Unit Cost \$96.34 Admisted Cost Basis	812350AE6 CASH	18,000	\$12.00	\$2,160.00		\$17,341.00 \$17,341.00	(4) 181 (1)
Total Fixed Income		73,000		\$2,191.57	\$2.81		(\$15,180.62)
HOLDINGS > MUTUAL FUNDS - 90.74% of Total Account Value	90.74% of Tota	al Account Value	Here were were been between bester between the bester between the bester between the bester between the bester	RIGINENENHAMENUNGHAMENUNGHAMENUNGHAMENUNGHAMENUNGHAMENUNGHAMEN	SPRIOTI PAROTEKO IKS IR ESTADOS CORRECCIONOS (INC. KENTORIA)	die en bestehe der die der der der der des	
Description	Symbol/Cusip Account Type	Quantity	Price on 03/31/19	Current Market Value	Estimated Annual Income	Original/Adjusted Cost Basis	Unrealized Gain (Loss)
Equity							
BLACKROCK MID CAP GROWTH EQUITY INSTL Dividend Option Reinvest Capital Gain Option Reinvest Average Unit Cost \$27.44	CMGIX	1,498.046	\$26.82	\$40,177.59		\$41,109.79	(\$932.20)
FIDELITY ADVISOR GROWTH OPPTY CL I Dividend Option Reinvest Capital Gain Option Reinvest Average Unit Cost \$800.90	FAGCX CASH	499,933	\$96.18	\$43,084,23		\$40,446.08	\$2,638,15
FIDELITY ADVISOR HEALTH CARE CL. I Dividend Option Reinvest Capital Gain Option Reinvest Average Unit Cost \$52.69	FHCIX	357.294	\$52.64	\$18,807,96	and the second s	\$18,827,25	(\$19.29)

Royal Alliance Associates, Inc.

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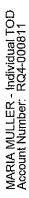
(\$705.99)

(\$8,821.71)

(\$2,560.29)

(\$2,160.02)

## Statement for the Period March 1, 2019 to March 31, 2019





Unrealized Gain (Loss)

\$283.72

Symbo	FIDELITY ADVISOR REAL ESTATE CL I FHEIX Estimated Yield 2.22% Dividend Option Reinvest Capital Gain Option Reinvest Average Unit Cost \$22.06	GOLDMAN SACH US EQU DIVIDEND & PREM FD I Estimated Yield 2.09% Dividend Option Reinvest Capital Gain Option Reinvest Average Unit Cost \$13.70	GOLDMAN SACHS ABSOLU RETURN TRACKER GJRTX INSTL Estimated Vield 1.04% Dividend Option Reinvest Capital Gain Option Reinvest Average Unit Cost \$9.81	OPPENHEIMER GLOBAL OPPORTUNITIES CL Y OGIYX Dividend Option Reinvest Capital Gain Option Reinvest Average Unit Cost \$569.03	T ROWE PRICE INSTL LARGE CAP GROWTH TRLGX Estimated Yield 0.24% CASH Divident Option Reinvest Capital Gain Option Reinvest Average Unit Cost. \$43.59	VANGUARD SMALL-CAP VALUE INDEX ADMIRAL.  Estimated Yield 2.09% Dividend Option Reinvest Capital Gain Option Reinvest Averane Init Crest 588.41		Fixed Income
	IX 565.526	X 2,138.124	X 2,895,682	X 876.401	XX 967.107	KX 678.667		1,652.12
Price on 03/31/19	\$22.56	\$12.69	\$9.57	\$58,96	540.54	\$55.30		\$12.22
Current Market Value	\$12,758.27	\$27,132.79	\$27,711.68	\$51,672,60	\$39,593,36	\$37,530,29	\$298,468.77	\$20.188.91
Estimated Annual Income		S568.53	\$290.15		\$96.71	\$787.80	\$2,026.52	\$681.08
Original/Adjusted Cost Basis	\$12,474.55	\$29,292.81	\$28,417.67	\$60,494,31	\$42,153.65	\$39,643.51	\$312,859.62	\$20,051,14

Account carried with National Financial Services LLC, Member NYSE, SIPC

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(\$14,390.85)

\$137.77

(\$2,113.22)

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Royal Alliance Associates, Inc.

Account carried with National Financial Services LLC, Member NYSE, SIPC

## Statement for the Period March 1, 2019 to March 31, 2019

MARIA MULLER - Individual TOD Account Number: RQ4-000811



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Description	Symbol/Cusip Account Type	Quantity	Price on 03/31/19	Current Market Value	Estimated Annual Income	Estimated Original/Adjusted Unrealized al Income Cost Basis Gain (Loss)	Unrealized Gain (Loss)
FIDEL ITY ADVISOR STRATEGIC INC CL I Capital Gain Option Reinvest Average Unit Cost \$12.14	FSRIX	continued					
LOOMIS SAYLES STRATEGIC INC Y Estimated Yield 3.91% Dividend Option Reinvest Capital Cain Option Reinvest Average Unit Cost \$14.36	NEZYX CASH	1,408.484	\$14.04	\$19,775.12	8773.68	\$20,222.97	(\$447.85)
PIMCO INCOME FUND INSTITUTIONAL FUND Estimated Yield 5.55% Dividend Option Reinvest Capital Folion Planest Average Unit Cost \$11.88	PIMIX	1,705.518	\$12.00	\$20,466,22	\$1,135.88	\$20,269.81	\$186.41
Total Fixed Income				\$60,430.25	\$2,590.64	\$60,543.92	(\$113.67)
Total Mutual Funds				\$358,899.02	\$4,617.16	\$373,403.54	(\$14,504.52)
HOLDINGS > EXCHANGE TRADED PRODUCTS - 5.28% of Total Account Value	DED PRODUCT	FS - 5.28% of Total Accor	int Value				
Description	Symbol/Cusip Account Type	Quantity	Price on 03/31/19	Current Market Value	Estimated Annual Income	Original/Adjusted Cost Basis	Unrealized Gain (Loss)
LD FI .65% zimvesi	MER VDC CASH	143.649	\$145.21	\$20,859,27	\$554.43	\$19,208.91	\$1,650,36
Average Unit Cost \$163.72  Total Exchange Traded Products				\$20,859.27	\$554.43	\$19,208.91	\$1,650.36
Total Securities				\$381,949.86	\$5,174.40	\$409,984.64	(\$28,034.78)
TOTAL PORTFOLIO VALUE				\$395,535.80	\$5,174.40	\$409,984.64	(\$28,034.78)

Royal Alliance Associates, Inc.

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NFS-provided cost basis, realized gain (loss) and holding period information may not reflect all adjustments necessary for tax purposes. Please refer to Footnotes and Cost Basis Information at the end of this statement for more information.

#### PURCHASES, SALES, AND REDEMPTIONS

Settlement Date	Account Type	Transaction	Description	Quantily	Amount	
Securities	Securities Purchased					
91/82/20	CASH	REINVESTMENT	LOOMIS SAYLES STRATEGIC INC Y REINVEST @ \$13,9900	3,856	(\$53.94)	
02/28/19	CASH	REINVESTMENT	PIMCO INCOME FUND INSTITUTIONAL FUND REINVESTED @ \$11.95	7.885	(\$94.22)	
03/08/19	CASH	REINVESTMENT	FIDELITY ADVISOR REAL ESTATE CL I REINVEST @ \$21.880	0.439	(\$9.61)	\$9.61
03/26/19	CASH	REINVESTMENT	VANGUARD WORLD FDS VANGUARD CONSUMER STAPLES ETF REINVEST @ \$142.9424 TRADE DATE 03-25-19	0.747	(\$106.82)	\$106.82
03/27/19	CASH	REINVESTMENT	VANGUARD SMALL-CAP VALUE INDEX ADMIRAL REINVESTED @ \$54.75 AS OF 03/27/19	3,127	(\$171.18)	\$171.18
03/29/19	CASH	REINVESTMENT	FIDELITY ADVISOR STRATEGIC INC CL 1 REINVEST @ \$12,220	5.157	(\$63.02)	\$63.02
03/29/19	CASH	REINVESTMENT	GOLDMAN SACH US EQU DIVIDEND & PREM FD I REINVEST @ \$12.6300	10,646	(\$134.46)	\$134.46
Total Sec	Total Securities Purchased	hased			(\$633.25)	
Securities Sold	Sold					
03/11/19	CASH	YOU SOLD	FIDELITY GOVT MMKT CAPITAL RESERVES CL FZAXX TO QAGCQ	(13,576.83)	\$13,576.83	
Total Sec	Total Securities Sold			-	\$13,576.83	-

Royal Alliance Associates, Inc.

Account carried with National Financial Services LLC, Member NYSE, SIPC

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## Statement for the Period March 1, 2019 to March 31, 2019

MARIA MULLER - Individual TOD Account Number: RQ4-000811



#### ACTIVITY > CORE FUND ACTIVITY

Settlement Account Date Type	Account Type	Transaction	Description	Quantity	Amount
03/11/19	CASH	YOU BOUGHT	ADVISOR GROUP INS DEPOSIT PROGRAM (CONSUMER-TIERED) QAGCQ IS LIQUID	13,576.83	(\$13,576.83)
03/20/19	CASH	YOU BOUGHT	ADVISOR GROUP INS DEPOSIT PROGRAM (CONSUMER-TIERED) @ 1	₹ <u>.</u>	(\$1.50)
03/29/19	CASH	YOU BOUGHT	Advisor group ins deposit program (consumer-tiered) @ 1	6.2	(\$6.20)
03/29/19	CASH	REINVESTMENT	advisor group ins deposit Program (Consumer-Tiered) net Int reinvest	1.41	(\$1.41)
TOTAL C	ORE FUN	TOTAL CORE FUND ACTIVITY			(\$13,585.94)

This section includes miscellaneous and certain corporate action transactions such as mergers, acquisitions, currency conversions, shares delivered or received in-kind, with a zero dollar amount at the time transaction occurred. It also includes Return of Principal transactions.

ACTIVITY > MISCELLANEOUS & CORPORATE ACTIONS

tal Realized sis Gain (Loss)	\$1.267 \$0.00
Total Cost Basis	₩
Amount	\$1.26
Quantity	
Description	GOVT NATL MTG ASSN II POOL #1578 9.00000% 03/20/2021
Transaction	PRINCIPAL PAYMENT
Account Type	CASH
Date	03/20/19 CASH

### ACTIVITY > INCOME > TAXABLE INCOME

Settlement Dato	Settlement Account Date Type	Transaction	Description	Quantity	Amount
Taxable ]	Taxable Dividends				
02/28/19 CASH	CASH	DIVIDEND RECEIVED	LOOMIS SAYLES STRATEGIC INC Y		\$53.94
02/28/19	CASH	DIVIDEND RECEIVED	PIMCO INCOME FUND INSTITUTIONAL FUND		394,22
	ana	Royal Alliance Associates, Inc.	ociates, Inc.	Account carried with 1 NYSE, SIPC	Account carried with National Financial Services LLC. Member NYSE, SIPC

#### Royal Alliance Associates, Inc.

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GASH         DIVIDEND RECEIVED         FIDELITY ADVISOR REAL ESTATE CL         \$9.01           93/26/19         CASH         DIVIDEND RECEIVED         CONSUMARD SYAPLES ETF         \$10.68Z           93/26/19         CASH         DIVIDEND RECEIVED         VANICIJARD VORDEN         \$10.68Z           93/26/19         CASH         DIVIDEND RECEIVED         \$10.68Z         \$11.18           93/26/19         CASH         DIVIDEND RECEIVED         REDELITY GOVITAMAT CAPITAL         \$6.20           93/26/19         CASH         DIVIDEND RECEIVED         RESERVES CL DIVIDEND RECEIVED         \$13.446           70 tall Taxable Dividends         CASH         DIVIDEND RECEIVED         \$20.00MAN SACH US EQUIDAMA SACH US	Settlement Date	Account Type	Transaction	Description	Quantity	Amount
CASH DIVIDEND RECEIVED CONSUMER STAPLES ETF  CASH DIVIDEND RECEIVED VANCUARD SMALL-CAP VALUE INDEX  CASH DIVIDEND RECEIVED CL I DIVIDEND RECEIVED CANDIDEND RECEIVED CASH DIVIDEND RECEIVED CL I DIVIDEND RECEIVED RESERVES CL DIVIDEND RECEIVED CASH DIVIDEND RECEIVED CASH DIVIDEND RECEIVED GOLDMAN SACH US EQU DIVIDEND & PREM FD1 REM FD1	03/08/19	CASH	DIVIDEND RECEIVED	FIDELITY ADVISOR REAL ESTATE CL	-	\$9.61
CASH DIVIDEND RECEIVED VANGUARD SMALL-CAP VALUE INDEX  ADMIRAL  CASH DIVIDEND RECEIVED FIDELITY ADVISOR STRATEGIC INC  CL I DIVIDEND RECEIVED  CASH DIVIDEND RECEIVED  CASH DIVIDEND RECEIVED  CASH DIVIDEND RECEIVED  CASH OLIDEND RECEIVED  CASH OLIDEND RECEIVED  CASH INTEREST RECEIVED  CASH INTEREST RECEIVED  CASH NATEREST RECEIVED  CASH NATEREST RECEIVED  CASH NATEREST RECEIVED  ADVISOR GROUP INS DEPOSIT  PROGRAM (CONSUMER-TIERED)  Taxable Interest  Taxable Interest  L INCOME	03/26/19	CASH	DIVIDEND RECEIVED	VANGUARD WORLD FDS VANGUARD CONSUMER STAPLES ETF		\$106.82
CASH         DIVIDEND RECEIVED         FIDELITY ADVISOR STRATEGIC INC           CASH         DIVIDEND RECEIVED         RESERVES CL DIVIDEND RECEIVED           CASH         DIVIDEND RECEIVED         RESERVES CL DIVIDEND RECEIVED           Taxable Dividends         RESERVES CL DIVIDEND RECEIVED         RESERVES CL DIVIDEND RECEIVED           To Anable Dividends         REM FD I         REM FD I           CASH         INTEREST         GOVT NATL MTG ASSN II POOL #1578         BO0000% 03/20/20/31           CASH         INTEREST RECEIVED         ADVISOR GROUP INS DEPOSIT         PROGRAM (CONSUMER-TIERED)           Taxable Interest         PROGRAM (CONSUMER-TIERED)         PROGRAM (CONSUMER-TIERED)           Taxable Interest         LINCOME	03/27/19	CASH	DIVIDEND RECEIVED	VANGUARD SMALL-CAP VALUE INDEX ADMIRAL		\$171.18
CASH DIVIDEND RECEIVED RESERVES CL DIVIDEND RECEIVED  CASH DIVIDEND RECEIVED GOLDMAN SACH US EQU DIVIDEND & PREM FD I  Taxuble Dividends  To Interest CASH INTEREST RECEIVED GOUT NATL MTG ASSN II POOL #1578  CASH RIVEREST RECEIVED ADVISOR GROUP INS DEPOSIT PROGRAM (CONSUMER-TIERED)  Taxuble Interest  Taxuble Interest  Taxuble Interest  L INCOME	03/29/19	CASH	DIVIDEND RECEIVED	FIDELITY ADVISOR STRATEGIC INC CL I DIVIDEND RECEIVED		\$63.02
CASH DIVIDEND RECEIVED GOLDMAN SACH US EQU DIVIDEND & PREM FD I  Taxuble Dividends  L Income  CASH INTEREST RECEIVED ADVISOR GROUP INS DEPOSIT PROGRAM (CONSUMER-TIERED)  Taxuble Interest  L INCOME  TAXUBLE TAXUBLE INCOME  TAXUBLE	03/29/19	CASH	DIVIDEND RECEIVED	FIDELITY GOVT MANKT CAPITAL RESERVES CL DIVIDEND RECEIVED		\$6.20
Taxublc Dividends  c Interest  CASH INTEREST GOVT NATL MTG ASSN II POOL #1578  Su00000% 03/20/20/21  CASH INTEREST RECEIVED ADVISOR GROUP INS DEPOSIT  PROGRAM (CONSUMER-TIERED)  Taxuble Interest  Taxuble Income  L INCOME	03/29/19	CASH	DIVIDEND RECEIVED	GOLDMAN SACH US EQU DIVIDEND & PREM FD I		\$134.46
CASH INTEREST GOVT NATL MTG ASSN II POOL #1578 9,00000% 03/20/2021 CASH INTEREST RECEIVED ADVISOR GROUP INS DEPOSIT PROGRAM (CONSUMER-TIERED) Taxable Income LINCOME	Total Ta	txable Divic	lends			\$639.45
CASH INTEREST RECEIVED ADVISOR GROUP INS DEPOSIT  Faxuble Interest  Taxuble Income  L INCOME	03/20/19	CASH	INTEREST	GOVT NATL MIG ASSN II POOL #1578 9.00000% 03/20/2021		\$0.24
	03/29/19	CASH	INTEREST RECEIVED	ADVISOR GROUP INS DEPOSIT PROGRAM (CONSUMER-TIERED)		51,41
	Total Ta	txable Inter	est			\$1.65
	Total Ta	txable Incor	me			\$641.10
	TOTAL	INCOME				\$641.10

Account carried with National Financial Services LLC. Member NYSE, SIPC

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Royal Alliance Associates, Inc.

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#### ACTIVITY > BANK DEPOSIT DETAIL

Bank deposits are not securities and are not covered by the Securities Investor Protection Corporation (SIPC). Customers are responsible for monitoring their total deposits at each Program Bank to determine the extent of available FDIC insurance. Your Ending Balance at each Program Bank as of the end of this statement period is shown below. If you participate in a Bank Deposit Sweep Program and also hold a Bank Deposit Direct Investment, the Bank Deposit Detail section lists banks and ending balances for both programs. Funds pending settlement reflect deposits to (credit) or withdrawars from (debit) a Program Bank, Subject to the terms of the applicable bank deposit disclosure, customers are reminded that funds are deposited to a Program Bank on the business day following the date that funds are credited to your account and until swept to a Program Bank, funds are covered by StPC.

Capital One Bank         \$0.00         \$13,579.74           Current Month's Pending Seldement         \$6.20           Total Bank Deposits         \$0.00         \$13,585.94	Bank	Balance Balance	Enuing Balance	
\$0.00	Capital One Bank	\$0.00	\$13,579.74	
\$0.00	Current Month's Pending Settlement	***************************************	\$6.20	
	Total Bank Deposits	\$0.00	\$13,585.94	

# Footnotes and Cost Basis Information

short-term instruments, Unit Investment Trusts, foreign fixed income securities, or those that are subject to early prepayment of principal (pay downs). Where current year premium or acquisition premium Amortization, accretion and similar adjustments to cost basis have been provided for many fixed income securities (and some bond-like equities), however, they are not provided for certain types, such as amortization is provided, the prior years' cumulative amortization is reflected in the adjusted cost basis, but we cannot provide a breakdown or the total of such prior amortization amortization amortization amortization amortization amortization and the cost basis, but we cannot browide a breakdown or the total of such prior amortization amortization amortization amortization amortization amortization and the cost basis of the cost o NFS is required to report certain cost basis and related information to the IRS on the Form 1099-B. Your official 1099-B forms for certain transactions will reflect which fots have been sold for tax purposes. To apply a specific identification cost basis method to 1099-B reporting, appropriate instructions must be on file with NFS or be received by NFS before the trade has settled. Absent such instructions, NFS elected to use another default method. NFS applies FIFO (or other disposal method, if applicable) based on its records, which may be different from yours. For transactions that are not subject to 1099-B determines cost basis at the time of sale based on its default methods of average cost for open-end mutual funds and first-in, first-out (FIFO) for all other (including ETFs) unless your broker dealer has cost basis reporting, you should refer to your trade confirmations and other applicable records to determine which lots were considered sold for tax purposes. White NFS must meet IRS requirements with respect to certain information required to be reported to the IRS, NFS-provided cost basis, realized gain and loss, and holding period information may not reflect all adjustments necessary for your tax reporting purposes. NFS makes no warranties with respect to and specifically disclaims any liability arising out of a customer's use of, or any tax position taken in reliance upon, such information.

For investments in partnerships, NFS does not make any adjustments to cost basis information as the calculation of basis in such investments requires supplemental information from the partnership on its income and distributions during the period you held your investment. Partnerships usually provide this additional information on a Form K-1 issued by April 15th of the following year

Consult your tax advisor for further information.

ថ្ម adjusted for premium and discount as stated above and does not reflect any losses disallowed because of wash sales (if applicable). The adjusted cost basis may not reflect all adjustments necessary T. Cost basis information was provided by a third party. We treat it as original cost basis, as of the date it is provided, and we assume that for equities, it reflects any prior corporate actions, and reflects market discount accretion which was calculated using the straight-line method and was recognized at disposition date. Gain/loss displayed for this transaction was based on cost basis as disposition date. Premium amortization was calculated using the yield-to-maturity method. Acquisition premium was calculated using the ratable accrual method. If applicable, adjusted cost basis D - Adjusted cost basis reflects any cumulative original issue discount, premium, or acquisition premium, and for tax reporting purposes and may also not apply if you are using an alternative amortization calculation method. Refer to IRS Publication 550, Investment Income and Expenses, for additional assumes such amounts were amortized by the taxpayer over the life of the security from acquisition date through disposition date. For securities still held, maturity date was used instead of asset-backed fixed income securities, it reflects any prior principal pay downs. Information.

#### Royal Alliance Associates, Inc.



# Footnotes and Cost Basis Information continued

If a sale, redemption or other disposition involved multiple tax lots, the transaction's totals may have been calculated using a combination of adjusted and unadjusted cost basis information. For lots where adjusted cost basis and its associated gain/loss are known, that was used, otherwise "regular" unadjusted cost basis and its associated gain/loss was used

### Miscellaneous Footnotes

CHANGE IN VALUE OF YOUR PORTFOLIO is the change in market value of your portfolio assets over the time period shown. The portfolio assets include the market value of all the securities in the account, plus insurance and annuity assets if applicable. The time frame of the graph is from account opening or September 2011, whichever is later, to the current period. Please note that large increases and/or declines in the change in the value of the portfolio can be due to additions, distribution and/or performance.

and CHANGE IN VALUE reflects appreciation or depreciation of your holdings due to price changes plus any activity not reflected within Additions and Withdrawals, Income, Taxes, Fees and Expenses, Other Activity sections. Change in Value does not reflect activity related to assets in which NFS is not the custodian (e.g. insurance and Annulties, Assets Held Away and Other Assets Held Away). CALLABLE SECURITIES LOTTERY - When street name or bearer securities held for you are subject to a partial call or partial redemption by the issuer, NFS unitary altocation system, in accordance with applicable rules, that randomly selects the securities within customer accounts that will be called/redeemed. NFS altocations are not made on a pro rata basis and it is possible for you to receive a full or partial allocation, or no allocation. You have the right to withdraw uncalled fully paid securities at any time prior to the cutoff date and time established by the issuer, transfer agent and/or depository with respect to the partial call, and also to withdraw excess margin securities provided your account is not subject to restriction under Regulation T or such withdrawal will not cause an undermargined condition.

PRICING INFORMATION . Prices displayed are obtained from sources that may include pricing vendors, broker/deaters who clear through NFS and/or other sources. Prices may not reflect current fair market value and/or may not be readily marketable or redeemable at the prices shown. FOREIGN EXCHANGE TRANSACTIONS - Some transaction types necessitate a foreign currency exchange (FX) in order to settle. FX transactions may be effected by Fidelity Forex, Inc. on a principal basis. Fidelity Forex, Inc., an affiliate of NFS, may impose a commission or markup on the prevailing interbank market price, which may result in a higher price to you. Fidelity Forex, Inc. may share a portion of any FX commission or markup with NFS. More favorable rates may be available through third parties not affiliated with NFS. The rate applicable to any transaction involving an FX is available upon request

COST BASIS LEGISLATION - New IRS Rules will require National Financial Services to report cost basis and holding period information for the sale of shares of open end Mutual Fund holdings purchased on standard to the sale of shares of open end mutual funds using a default method of average cost. Alternatively, account owners or their brokers and advisors can instruct National Financial Services to determine the cost basis for shares of open end mutual funds by 1) setting up their non-retirement accounts with one of our eleven lax lot disposal methods available to investors or 2) identifying specific tax tots to sell at the time of a transaction. Contact your broker or advisor to learn more about the cost basis tracking of your holdings.

Royal Alliance Associates, Inc.

Account carried with National Financial Services LLC, Member

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only and should not be used or relied on for making investment, trading or tax decisions. EAI and EY are based on data obtained from information providers believed to be reliable, but no assurance can be made as to accuracy,

timeliness or completeness.

fluctuale, Interest and dividend rates are subject to change at any time and may be affected by current and future

security. EY reflects only the income generated by an investment and not changes in its price which may

economic, political and business conditions. EAI and EY are estimates only and may include return of principal and/or capital gains, which would render them overstated. EAI and EY are provided for informational purposes

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to your Margin Account on a weekly basis. Market Value - The Total Market Value has been calculated out to current market quoles, but when such quotes are not available the pricing vendors use a variety of techniques to estimate value. These estimates, particularly for fixed Income securities, may be based on certain minimum principal amounts (e.g. \$1 million) and may not reflect all of the factors that affect the value of the market increases or decreases from the original sale price will be marked to the market and will be transferred represents prices obtained from various sources, may be impacted by the frequency in which such prices are 9 decimal places, however, the individual unit price is displayed in 5 decimal places. The Total Market Value security, including liquidity risk. The prices provided are not firm bids or offers. Certain securities may reflect or "unavailable" where the price for such security is generally not available from a pricing source. The reported and such prices are not guaranteed. Prices received from pricing vendors are generally based on GLOSSARY Short Account Balances If you have sold securities under the short sale rule, we have, in accordance with regulations, segregated the proceeds from such transactions in your Short Account. Any

Market Value of a security, including those priced at par value, may differ from its purchase price and may not CUSTOMER SERVICE: Please review your statement and report any inaccuracy or discrepancy immediately by calling the telephone number of your broker-dealer reflected on the front of this statement. Reports of

any inaccuracy or discrepancy regarding your brokenage account or the activity therein should be directed to your broken-dealer at the telephone number and address reflected on the front of this statement and National Financial Services LLC ("NFS").

NFS carries your brokenage account and acts as your custodian for funds and seourities that are deposited with NFS by you or your broken-dealer. In addition to your initial contact with your broken-dealer you may contact NFS at (800) 801-9942. Any oral communications regarding inaccuracies or discrepancies should be reconfirmed in writing to protect your rights, including those under the Securities Investor Protection Act ("SIPA"). When contacting either your broker-dealer or NFS, remember to include your entire brokerage account number to

ADDITIONAL INFORMATION Free credit balances ("FCB") are funds payable to you on demand. FCB are subject to open commitments such as uncleared checks and exclude proceeds from sales of certificated securities without delivery of the certificate. If your FCB is swept to a core position, you can liquidate the core position and have the proceeds sent to you or held in your account subject to the terms of your account agreement. Required rule 10b-10(a) information not contained herein will be provided on written request. Fidelity may use this free credit balance in connection with its business, subject to applicable law.

Credit Adjustment Program. Accountholders receiving payments in lieu of qualified dividends may not be reserves the right to deny the adjustment to any accountholder and to amend or terminate the credit adjustment eligible to receive credit adjustments intended to help cover additional associated federal tax burdens. NFS

commissions and other charges. If you require further information, please contact your broker-dealer. Assignments of American and European-style options are allocated among customer short positions pursuant to a random allocation procedure, a description of which is available upon request. Short positions in American-style options are liable for assignment at any time. The writer of a European-style option is subject to exercise assignment only during the exercise period. You should advise your broker-dealer promptly of any material change in your investment objectives or financial situation. Splits, Dividends, and Interest. Expected Options Customers. Each transaction confirmation previously delivered to you contains full information about program.

stock split, next dividend payable, and next interest payable information has been provided by third parties and may be subject to change. Information for certain securities may be missing if not received from third parties in time for printing. NFS is not responsible for inaccurate, incomplete, or missing information. Please consult your broker-dealer for more information about expected stock split, next dividend payable, and next interest payable for certain securities.

Equity Dividend Reinvestment Customers. Shares credited to your brokerage account resulted from transactions effected as agent by either: 1) Your broker-dealer for your investment account, or 2) through the Depository Trust Company (DTC) dividend reinvestment program. For broker-dealer effected transactions, the time of the transactions, the exchange upon which these transactions occurred and the name of the person from whom the security was purchased will be funished upon written request. NFS may have acted as market maker maker.

in effecting trades in 'over-the-counter' securities.

Retirement Contributions/Distributions. A summary of retirement contributions/distributions is displayed for you in the activity summary section of your statement. Income Reporting, NFS reports earnings from investments in Traditional IRAs, Rollover IRAs, SEP-IRAs and, Keoghs as lax-deferred income. Earnings from Roth IRAs are reported as tax-free income, since distributions may be tax-free after meeting the 5 year aging requirement and certain other conditions. A financial statement of NFS is available for your personal inspection at its office or a copy of it will be mailed to you upon your written request.

Statement Mailling. NFS will deliver statements by mail or, if applicable, notify you by e-mail of your statements

during the last monthly reporting period. At a minimum, all brokerage customers will receive quarterly statements availability, if you had transactions that affected your cash balances or security positions held in your account(s) (at least four times per calendar year) as long as their accounts contain a cash or securities balance. Loads and Fees. In connection with (i) access to, purchase or redemption of, and/or maintenance of positions in mutual funds and other investment products ("funds") or (ii) infrastructure needed to support such funds, some funds, or their investment affiliates, pay your introducing broker dealer and/or NFS sales loads and 12b-1 fees

Royal Alliance Associates, Inc.

a security's dividend payments for the next 12 months calculated based on prior and/or declared dividends for that Estimated Annual Income (EAI) & Estimated Yield (EV). EAI for fixed income is calculated using the coupon rate. For all other securities, EAI is calculated using an indicated annual dividend (IAD). The IAD is an estimate of closely reflect the value at which the security may be sold or purchased based on various market factors. Investment decisions should be made only after consulting your broker-dealer

amount(s) of compensation as well as other remuneration received by your introducing broker dealer and/or NFS margin accounts maintained for you under Section 220.5 of Regulation T issued by the Board of Governors of the your account as collateral for any outstanding margin loan. The amount you may borrow is based on the value of Federal Reserve Board. The permanent record of the separate account, as required by Regulation T, is available regulations, customs, usages, rulings and interpretations of the exchange market and its clearing house, if any where the transactions are executed, and of the New York Stock Exchange (NYSE) and of the Financial Industry margin privileges and been approved, you may borrow money from NFS in exchange for pledging the assets in securities in your margin account, which is identified on your statement. If you have a margin account, this is a infrastructure support and maintenance, and other programs. Additional information about the source(s) and Margin. If you have applied for combined statement of your margin account and special mernorandum account other than your non-purpose for your inspection upon request. NYSE and FINRA. All transactions are subject to the constitution, rules, transaction fee or no transaction fee status. At time of sale, any fees applicable to your transaction will be described in the prospectus as well as additional compensation for shareholder services, start-up fees, will be furnished to you upon written request. At time of purchase fund shares may be assigned a load assessed based on the status assigned to the shares at time of purchase.

periodic adjustments for inflation in accordance with terms of the SIPC statute and approval by SIPC's Board of Directors. NFS also has arranged for coverage above these limits. Neither coverage protects against a decline in the market value of securities, nor does either coverage extend to certain securities that are considered ineligible unregistered investment contracts, futures accounts, toaned securities and other investments may not be covered. Precious metals are not covered by SIPC protection. Mutual funds and/or other securities are not backed or guaranteed by any bank, nor are they insured by the FDIC and involve investment risk including possible loss of shall, at the direction of your broker-dealer: (1) execute, clear and settle transactions processed through NFS compliance with applicable laws and regulations including compliance with margin rules pertaining to your margin by your broker-dealer, (2) prepare and send transaction confirmations and periodic statements of your brokerage account (unless your broker-dealer has undertaken to do so). Certain securities pricing and descriptive information may be provided by your broker-dealer or obtained from third parties deemed to be reliable, however maintain the required books and records for the services it performs. Securities in accounts carried by NFS are protected in accordance with the Securities Investor Protection Corporation ("SIPC") up to \$500,000. The \$500,000 total amount of SIPC protection is inclusive of up to \$250,000 protection for claims for cash, subject to BrokerCheck Program Hotline at (800) 289-9999 or access the FINRA's web site at www.finra.org. FINRA Rule compliance with federal, industry and NFS margin rules, and for advising you of margin requirements. NFS shall brochure that includes information describing FINRA Regulation's BrokerCheck Program ("Program"). To obtain Regulatory Authority ("FINRA"). The FINRA requires that we notify you in writing of the availability of an investor this information has not been verified by NFS, (3) act as custodian for funds and securities received by NFS on administration of your brokerage account. The following is a summary of the allocation services performed by your broker-dealer and NFS. A more complete description is available upon request. Your broker-dealer is responsible for: (1) obtaining and verifying brokerage account information and documentation, (2) opening, recommendations and advice, (5) operating, and supervising your brokerage account and its own activities in carrying securities on margin. Your broker-dealer is responsible for ensuring that your brokerage account is in -202-371-8300. Funds used to purchase or sweep to a bank deposit are SIPC protected until deposited to a your behalf, (4) follow the instructions of your broker-dealer with respect to transactions and the receipt and delivery of funds and securities for your brokerage account, and (5) extend margin credit for purchasing or approving and monitoring your brokerage account, (3) transmitting timely and accurate orders and other Program Bank at which time funds may be eligible for FDIC insurance. Assets Held Away, commodities, 4311 requires that your broker-dealer and NFS allocate between them certain functions regarding the instructions to NFS with respect to your brokerage account, (4) determining the suitability of investment account, if applicable, and (6) maintaining required books and records for the services that it performs. www.sipc.org or call brochure or more information about the Program or FINRA Regulation, contact the FINRA Regulation for coverage. For more details on SIPC, or to request a SIPC brochure, visit

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**C=Contingent, U=Unliquidated, D=Disputed, F=Foreign  Prime Clerk maintains this website for the public's convenience and for general informational purposes only. Anyone using this website is cautioned NOT to rely on any information contained on this Website, and any user of this website should not take or refrain							, have an experience to the contract of the co	: 10 ::
Prime Clerk maintains this website for the public's convenience and for general informational purposes only. Anyone using this website is cautioned NOT to rely on any information contained on this Website, and any user of this website or certain.	Total	\$0.00	\$32,000	.00	\$32,000.00		. Search Claim	//mu/aman
If or general informational purposes only. Anyone using this website is cautioned NOT to rely on any information contained on this Website, and any user of this website should not take or refrain	'C=Contingent, U=Un	llquidated, D=Dispu	ited, F=Poreign				Resel	
Undergraph of this website. We are not a law firm or a substitute for Undergraph in new Window	for general informational is cautioned NOT to rely Website, and any user o	al purposes only. Anyo on any information co f this website should n	ne using this website intained on this int take or refrain	<b>*</b>	Oin	lada		

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18-23538-sh			11/09/21 11	1:28:07 Main Document
		OR THE SOUPHERNODHFTSICT O Select only one Debtor p		3.
Sears Holdings Corporation	Kmart Corporation	Sears, Roebuck de Puerto	MyGofer LLC	Kmart.com LLC
(18-23538)  Sears, Roebuck and Co.	(18-23549) MaxServ, Inc.	Rico, Inc. (18-23561) SYW Relay LLC	(18-23573) Sears Brands Bu	(18-23585) Isiness Unit Sears Brands Management
(18-23537)	(18-23550) Private Brands, Ltd.	(18-23562)	Corporation (18-	-23574) Corporation (18-23586)
Kmart Holding Corporation (18-23539)	(18-23551)	Wally Labs LLC (18-23563)	Sears Holdings I Company, LLC	(18-23575) LLC (18-23616)
Kmart Operations LLC (18-23540)	Sears Development Co. (18-23552)	Big Beaver of Florida Development, LLC (18-23564)	Kmart of Michig (18-23576)	gan, Inc. SHC Promotions LLC (18-23630)
Sears Operations LLC	Sears Holdings Management	California Builder Appliances.	SHC Descrt Spr	
(18-23541) L ServiceLive, Inc.	Corporation (18-23553) Sears Home & Business	Inc. (18-23565) Florida Builder Appliances, Inc.	(18-23577) SOE, Inc.	(19-22301)
(18-23542) A&E Factory Service, LLC	Franchises, Inc. (18-23554) Sears Home Improvement	(18-23566) KBL Holding Inc.	(18-23578) StarWest, LLC	
(18-23543)	Products, Inc. (18-23555)	(18-23567)	(18-23579)	
A&E Home Delivery, LLC (18-23544)	Sears Insurance Services. L.L.C. (18-23556)	KLC. Inc. (18-23568)	STI Merebandis (18-23580)	ing, Inc.
A&E Lawn & Garden, LLC (18-23545)	Sears Procurement Services, Inc. (18-23557)	Sears Protection Company	Troy Coolidge 1 LLC (18-23581	
A&E Signature Service, LLC	Sears Protection Company	(Florida), L.L.C. (18-23569) Kmart of Washington LLC	BineLight.com,	
(18-23546) L FBA Holdings Inc.	(18-23558) Sears Protection Company	(18-23570)  Kmart Stores of Illinois LLC	(18-23582) Sears Brands, L	IC
(18-23547)	(PR) Inc. (18-23559)	(18-23571)	(18-23583)	
Innovel Solutions, Inc. (18-23548)	Sears Roebuck Acceptance Corp. (18-23560)	Kmart Stores of Texas LLC (18-23572)	Sears Buying Se Inc. (18-23584)	
A person who files a fraudul	ent claim could be fined up to bout the claim as of the da	o \$500,000, imprisoned for up to 5	years, or both. 18	ents are not available, explain in an attach U.S.C. §§ 152, 157, and 3571. f bankruptcy (Form 309) that you receive
. Who is the current	· MARIA MULLER			
creditor?		(the person or entity to be paid for this c	laimi	, , , , , , , , , , , , , , , , , , ,
	Other names the creditor use	ed with the debtor		
. Has this claim been acquired from someone else?	☑ No ☑ Yes. From whom?			
. Where should notices and payments to the	Where should notices to	o the creditor be sent?	Where should different)	d payments to the creditor be sent? (if
creditor be sent?	17 WALLINGFORD	DR		FINANCIAL SERVICES
Federal Rule of Bankruptcy Procedure	MELVILLE, NY 1174	47		LALLIANCE
(FRBP) 2002(g)			10 EXCHAI SUITE 1410	NGE PLAZA
				0 ITY, NJ 07302
			RQ4-00081	
	Contact phone 631-549	9-1735	Contact phone	631-353-0003
	Contact email	· · · · · · · · · · · · · · · · · · ·	Contact email	sfitzgerald@steelridgeadvisors.c
Does this claim amend one already filed?	No Yes, Claim number of	on court claims registry (ifknown)_		Filed on MM / DD / YYYY
5 Do you know if anyons	☑ No			
5. Do you know if anyone else has filed a proof of claim for this claim?	Yes. Who made the e	earlier filing?		

#### 18-23538-shl Doc 10045 Filed 11/08/21 Entered 11/09/21 11:28:07 Main Document Pg 24 of 37

#### Give Information About the Claim as of the Date the Case Was Filed 6. Do you have any number ☐ No you use to identify the Yes. Last 4 digits of the debtor's account or any number you use to identify the debtor: 9 3 5 6 debtor? $32,\!000.\underline{00}$ . Does this amount include interest or other charges? 7. How much is the claim? Yes. Attach statement itemizing interest, fees, expenses, or other charges required by Bankruptcy Rule 3001(c)(2)(A). What is the basis of the Examples: Goods sold, money loaned, lease, services performed, personal injury or wrongful death, or credit card. claim? Attach redacted copies of any documents supporting the claim required by Bankruptcy Rule 3001(c). Limit disclosing information that is entitled to privacy, such as health care information. 9, is all or part of the claim ☐ No secured? Yes. The claim is secured by a lien on property. Nature of property: 🔲 Real estate. If the claim is secured by the debtor's principal residence, file a Mortgage Proof of Claim Attachment (Official Form 410-A) with this Proof of Claim. ☐ Motor vehicle SEARS HLDGS CORP. 6 5/8% SENIOR SECURED NOTE Due ☑ Other, Describe: Basis for perfection: Attach redacted copies of documents, if any, that show evidence of perfection of a security interest (for example, a mortgage, lien, certificate of title, financing statement, or other document that shows the lien has been filed or recorded.) Value of property: Amount of the claim that is secured: Amount of the claim that is unsecured: \$\_ \_\_\_\_\_(The sum of the secured and unsecured amounts should match the amount in line 7.) Amount necessary to cure any default as of the date of the petition: Annual Interest Rate (when case was filed) Fixed ☐ Variable 10. Is this claim based on a Z No lease? Yes. Amount necessary to cure any default as of the date of the petition. 1 1. Is this claim subject to a ☑ No right of setoff? Yes, Identify the property:

#### 18-23538-shl Doc 10045 Filed 11/08/21 Entered 11/09/21 11:28:07 Main Document Pg 25 of 37

	······································				
12. Is all or part of the claim entitled to priority under					
11 U.S.C. § 507(a)?	Yes. Check	cone:			Amount entitled to priority
A claim may be partly priority and partly	Domes 11 U.S.	iic support obligations (including al C. § 507(a)(1)(A) or (a)(1)(B).	mony and child support	under	\$
nonpriority. For example, in some categories, the law limits the amount entitled to priority.	Up to \$ persons	2,850* of deposits toward purchase il, family, or household use. 11 U.S	e, lease, or rental of prop s.C. § 507(a)(7).	perty or services for	\$
	bankruş	salaries, or commissions (up to \$otcy petition is filed or the debtor's lC. § 507(a)(4).	2,850*) earned within 1 ousiness ends, whicheve	80 days before the er is earlier.	\$
	☐ Taxes o	r penalties owed to governmental	units. 11 U.S.C. § 507(a	)(8).	\$
	☐ Contrib	utions to an employee benefit plan.	11 U.S.C. § 507(a)(5).		\$
		Specify subsection of 11 U.S.C. § 5			\$
		-			
	* Amounts ar	e subject to adjustment on 4/01/19 and	every 3 years after that for o	cases begun on or after t	he date of adjustment.
13. Is all or part of the	<b>☑</b> No				
claim entitled to administrative priority	☐ Yes, Indicat	e the amount of your claim arisi	ng from the value of a	ny goods received	\$
pursuant to 11 U.S.C. § 503(b)(9)?	by the Debt which the g	or within 20 days before the date oods have been sold to the Deb siness. Attach documentation s	of commencement of for in the ordinary cou	f the above case, in	
Part 3: Sign Below					
The	Ch = -(- #/				
The person completing this proof of claim must	Check the appro	-			
sign and date it. FRBP 9011(b).	I am the cre				
If you file this claim	_	ditor's attorney or authorized agen stee, or the debtor, or their authori		2145 2004	
electronically, FRBP		antor, surety, endorser, or other co			
5005(a)(2) authorizes courts to establish local rules	5	t an authorized signature on this P	· ·		hat when calculating the
specifying what a signature		aim, the creditor gave the debtor co			
is. A person who files a	I have examined and correct.	the information in this Proof of Cla	im and have a reasonat	ole belief that the info	rmation is true
fraudulent claim could be fined up to \$500,000,		enalty of pegjury that the foregoing	is true and correct.		
imprisoned for up to 5	Executed on day	e 04/09/2019 (mm/dd/yyy	у)		
years, or both. 18 U.S.C. §§ 152, 157, and	()	1_7			
3571.	XK	Tout of	/		
	Signature	1 477	/		
		of the person who is completing	•	า:	
	Name of the pe	rson who is completing and sign	ing this claim:		
	Name	SCOTT M FITZGERALD			
		First name	Middle name	Last name	
	Title	PRESIDENT			
	Сотрапу	STEEL RIDGE ADVISOR	S		
		Identify the corporate servicer as the	company if the authorized	agent is a servicer.	
	•				
	Address	1377 MOTOR PKWY, SU	TE 204		
		Number Street	\$ 15.7	44740	
		ISLANDIA	NY Sto		
	• _	City	Sta		stoolridaaadulaa
	Contact phone	631-353-0003	. Em	ail Smzgeraid@9	steelridgeadvisors.com

ENV# CEBGWBCPBBDQGPX BBBBC ROYAL ALLIANCE ASSOCIATES INC. 10 EXCHANGE PLACE, SUITE 1410 JERSEY CITY, NJ 07302

NFS/FMTC IRA FBO MARIA MULLER 17 WALLINGFORD DR MELVILLE NY 11747

STATEMENT FOR THE PERIOD MARCH 1, 2019 TO MARCH 31, 2019

MARIA MULLER - Premiere Select IRA Account Number: RQ4-000810 TOTAL VALUE OF YOUR PORTFOLIO

\$258,783.65

For questions about your accounts:

YOUR FINANCIAL ADVISOR IS:

SCOTT FITZGERALD

RR#: AZP

12/18 01/19 02/19 03/19 Change In Value Of Your Portfolio information can be found in Miscellaneous Footnotes at the end of this 05/18 06/18 07/18 08/18 09/18 10/18 11/18 CHANGE IN VALUE OF YOUR PORTFOLIO \$ thousands 290.996 270.639 250.281 229.923 311,354

Account carried with National Financial Services L.L.C. Member

NYSE, SIPC

Royal Alliance Associates, Inc.

MN \_CEBGWBCPBBDQGPX\_BBBBC 20190329

Page 1 of 12

Equities 81,5%

Current Period

Prior Period \$1,653.33

% 0.0

Money Markets Bank Deposits

Fixed Income Equities

TOTAL

9.0 81.5 17.9

Percent

\$1,654.43

\$0.00

\$208,794.74 \$49,237.98 \$259,686.05

\$210,761.82

\$46,367.40 \$258,783,65

## Statement for the Period March 1, 2019 to March 31, 2019

MARIA MULLER - Premiere Select IRA Account Number: RQ4-000810



#### Account Overview

CHANGE IN ACCOUNT VALUE	Current Period	Year-10-Date	ACCOUNT ALLOCATION
BEGINNING VALUE	\$259,686.05	\$229,923.36	Bank [
Additions and Withdrawals	\$0.00	\$0.00	Fixed Incom
Income	\$422.32	\$691.51	
Taxes, Fees and Expenses	\$0.00	(\$571.79)	
Other Activity	\$0.00	\$2.26	
Change in Value	(\$1,324.72)	\$28,738.31	
ENDING VALUE (AS OF 03/31/19)	\$258,783.65	\$258,783.65	
Refer to Miscellaneous Footnotes for more information on Change in Value.	n on Change in l'alue.		

Bank Deposits 0.6%

Fixed Income 17.9%

RETIREMENT CONTRIBUTIONS/DISTRIBUTIONS	ONS		
CONTRIBUTIONS	Current Period	Year-to-Date	
For Current Year 2019	\$0.00	\$0.00	
For Prior Year 2018	\$0.00	\$0.00	
DISTRIBUTIONS			
For Current Year 2019	\$0.00	\$0.00	•
	n. Certi en pela lebella di Elebendo Certa de Controlo Controlo Certa de Control Certa de	RELEGIORAN MANAGEMENT PROPERTIES DE LA COMPANSION DE LA C	
REQUIRED MINIMUM DISTRIBUTION (RMD)		Total This Year	
2019 RMD for this account		\$15,535.36	-

positions. NFS has made assumptions concerning how certain mutual funds are albocated. Closed-end mutual funds and Exchange Tradad Products (ETPs) listed on an exchange may be included in the equity allocation. The chart may not reflect your actual portfolio allocation. Consult your brokeridealer pror to making investment decisions.

Account Allocation shows the percentage that each asset class represents of your total account value. Account Allocation for equities, fixed income, and other categories may include mutual funds and may be net of short

100.0%

Your RMD amount was calculated using the IRS Uniform Life Expectancy Table. Refer to Miscellaneous Footnotes at the end of this statement for more information

INCOME	Current Period	Year-10-Dafe
Dividends	\$422.10	\$691.29
Interest	\$0.22	\$0.22

### Account carried with National Financial Services LLC, Member NYSE, SIPC

MN \_CEBGWBCPBBDQGPX\_BBBBC 20190329

Royal Alliance Associates, Inc.

## Statement for the Period March 1, 2019 to March 31, 2019

MARIA MULLER - Premiere Select IRA Account Number: RQ4-000810



All income is tax deferred until it is distributed from the account.

TAXES, FEES AND EXPENSES	Current Period	Year-to-Date
Account Fees	\$0.00	(\$571.79)
TOTAL TAXES, FEES AND EXPENSES	00.0\$	(\$5/1.79)

#### **MESSAGES AND ALERTS**

Registration System - DRS. If the fee is charged by the agent, NFS will pass through the charge to the account. As a rentinder, there is already an existing fee charged to accounts for outgoing DRS agents, Computershare, Wells Fargo, and Registrar and Transfer Company are implementing a transfers. Please contact your Financial Advisor if you have any questions regarding this fee. DRS - Direct Registration System Transfer Agent Fee Effective May 1, 2014, three transfer \$15 transfer fee for each position moved into your brokerage account via book entry Direct

with the following changes. Payee details will be displayed within Activity Sections Description Your Portfolio graph will show minimum and maximum scaling on the Y axis, include Negative Beginning in January 2019, National Financial Services will enhance the end-investor statement Dividends charged will be reported within the Account Overview section. Change in Value of field for transactions that have associated Payee information. A summary level total of Short values and, use clearer data points for information displayed.

provide certain financial information from its Statement of Financial Condition. At December National Financial Services LLC NFS is required by the Securities Exchange Act of 1934 to www.mybrokerageinfo.com. If you wish to obtain a copy of this document at no cost, please requirement by \$3,425 million. To acquire the Statement of Financial Condition, log on to 31, 2018, NFS, an affiliate of Fidelity Brokerage Services LLC, had net capital of \$4,012 million, which was 13.67 percent of aggregate debit items and exceeded its minimum call 800-439-5627.

Royal Alliance Associates, Inc.

MN \_CEBGWBCPBBDQGPX\_BBBBC 20190329

Account carried with National Financial Services LLC, Member

## Statement for the Period March 1, 2019 to March 31, 2019

MARIA MULLER - Premiere Select IRA Account Number: RQ4-000810



For additional information regarding your holdings, please refer to the footnotes at the end of the statement.

## CASH AND CASH EQUIVALENTS - 0.64% of Total Account Value

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Description	Symbol/Cusip Account Type	Quantity	Price on 03/31/19	Current Market Value	Estimated Anrual Income
Bank Deposits Bank deposits are not securities and are not Bank at which time funds may be eligible for Bank Deposit Detail section which appears I include a Bank Deposit Detail section.	t covered by the Securities Inver FDIC insurance. Customers a later in this statement for inform	sstor Protection Corpora are responsible for mon nation on the banks hol	tion (SIPC). Funds use itoring their total depos ding your deposits. If y	d to purchase or sweep to its at each Program Bank our account was establisf	Bank Deposits Bank deposits and are not covered by the Securities Investor Protection Corporation (SIPC). Funds used to purchase or sweep to a bank deposit are SIPC protected until deposited to a Program Bank at which time funds may be eligible for FDIC insurance. Customers are responsible for monitoring their total deposits at each Program Bank to determine the extent of available FDIC insurance. Refer to the Bank Deposit Detail section which appears later in this statement for information on the banks holding your deposits. If your account was established on the last business day of this month, your statement will not include a Bank Deposit Detail section.
ADVISOR GROUP INS DEPOSIT PROGRAM (LEVEL) Fsilmated Amusi Yield 0.24%	QAGLQ CASH	1,654.43	\$1.00	\$1,654.43	
Total Cash and Cash Equivalents				\$1,654,43	

Royal Alliance Associates, Inc.

Account carried with National Financial Services LLC, Member NYSE, SIPC

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Account carried with National Financial Services LLC, Member

MARIA MULLER - Premiere Select IRA Account Number: RQ4-000810



## HOLDINGS > FIXED INCOME - 1.48% of Total Account Value

For an explanation of fixed income pricing, please see the last page. Redemption schedule(s), bond rating(s), and other information are provided where available. If information does not appear regarding a particular investment, it is not available. The ratings on this statement are provided by Standard & Poor's and/or Moody's to rate the quality based on the respective rating agency's assessment. Ratings information from Standard & Poor's ("S&P") may not be reproduced. S&P credit ratings are statements of opinion and are not statements of fact or recommendations to purchase, hold, or sell securities, nor do they address the suitability of securities for investment purposes, and should not be relied on as investment advice. S&P does not guarantee the accuracy, completeness, timeliness or availability of any information, including ratings, and S&P she had not be inable for any direct, indirect, incidental, exemplary, compensatory, punitive, special or consequential damages, costs, expenses, legal fees, or tosses (including lost income or profits and opportunity costs) in connection with any use of ratings.

Estimated Annual Income			HOLDINGS > MUTUAL FUNDS - 92.22% of Total Account Value	Estimated Annual Income				\$199.40
Estimated Current Market Value	\$3,840.00	\$3,840.00		Current Market Value	\$28,274.53	\$30,321,31	\$13,236.85	\$8,979.02
Estimated Price on 03/31/19	\$12.00			Price on 03/31/19	\$26.82	\$86.18	\$52.64	\$22.56
Quantity	32,000	32,000	d Account Value	Quantity	1,054.233	351.837	251.46	398.006
Symbol/Cusip Account Type	E 812350AE6 CASH		- 92.22% of Tota	Symbol/Cusip Account Type	CMGIX	FAGCX CASH	FHCIX CASH	FHEIX
Description	Corporate Bonds  SEARS HLDGS CORP NOTE CALL MAKE WHOLE 6.62500% 10/15/2018 MOODY'S WR CPN PMT SEMI-ANNUAL CONT 15, APR 15 CONTINICIUS Y CALL ARLE	IN MONETARY DEFAULT Total Fixed Income	HOLDINGS > MUTUAL FUNDS - 92.22% of Total Account Value	Description	Equity BLACKROCK MID CAP GROWTH EQUITY INSTL Dividend Option Reinvest Capital Sain Option Reinvest	FIDELITY ADVISOR GROWTH OPPTY CL I Dividend Oplion Reinvest Capital Gain Option Reinvest	FIDELITY ADVISOR HEALTH CARE CL I Dividend Option Reinvest Capital Gain Option Reinvest	FIDELITY ADVISOR REAL ESTATE CL I Estimated Yield 2.22% Dividend Option Reinvest Capital Gain Option Reinvest

#### Royal Alliance Associates, Inc.

MARIA MULLER - Premiere Select IRA Account Number: RQ4-000810



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MUTUAL FUNDS
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HOLDINGS

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Syl Description Ac	Symbol/Cusip Account Type	Quantity	Price on 03/31/19	Current Market Value	Estimated Annual Income
GOLDMAN SACH US EQU DIVIDEND & PREM FD I Estimated Yield 2.09% Dividend Option Reinvest Capital Gain Option Reinvest	GSPKX CASH	1,504.723	\$12.69	\$19,094.93	\$400.11
GOLDMAN SACHS ABSOLU RETURN TRACKER INSTL. Estimated Yield 1.04% Dividend Option Reinvest Capital Gain Option Reinvest	GJRTX	1,456.201	59.57	\$13,935.84	\$145.91
OPPENHEIMER GLOBAL OPPORTUNITIES CL Y Dividend Option Reinvest Capital Gain Option Reinvest	OGIYX	616.775	\$58.96	\$36,365.05	
T ROWE PRICE INSTL LARGE CAP GROWTH Estimated Yield 0.24% Dividend Option Reinvest Capital Gain Option Reinvest	TRLGX CASH	606.013	\$40.94	\$24,810.17	\$60.60
VANGUARD SWALL-CAP VALUE INDEX ADMIRAL Estimated Yield 2.09% Dividend Option Reinvest Cantial Gain Ontion Reinvest	VSIAX CASH	381,518	\$55.30	\$21,097.95	\$442.87
Total Equity				\$196,115.65	\$1,248.89
FIDELITY ADVISOR STRATEGIC INC CL I Estimated Yield 3.37% Dividend Option Reinvest Capital Gain Option Reinvest	FSRIX CASH	1,162.711	\$12.22	\$14,208.33	\$479.32
LOOMIS SAYLES STRATEGIC INC Y Estimated Yield 3.91% Dividend Option Reinvest Capital Gain Option Reinvest	NEZYX CASH	991.193	\$14,04	\$13,916,35	\$544.46

Royal Alliance Associates, Inc.

MN \_CEBGWBCPBBDQGPX\_BBBBC 20190329

Account carried with National Financial Services LLC, Member NYSE, SIPC

Account carried with National Financial Services LLC, Member NYSE, SIPC

## Statement for the Period March 1, 2019 to March 31, 2019

MARIA MULLER - Premiere Select IRA Account Number: RQ4-000810



continued
MUTUAL FUNDS
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Description	Symbol/Cusip Account Type	Quantity	Price on 03/31/19	Current Market Value	Estimated Annual Income	
PIMCO INCOME FUND INSTITUTIONAL FUND Estimated Yield 5.55% Dividend Option Reinvest Canilal Gain Obtion Reinvest	PIMIX CASH	1,200,227	\$12.00	\$14,402.72	\$799.35	
Total Fixed Income				\$42,527.40	. \$1,823,13	And the second s
Total Mutual Funds				\$238,643.05	\$3,072.02	
HOLDINGS > EXCHANGE TRADED PRODUCTS - 5.66% of Total Account Value	DED PRODUCTS - 5.66	3% of Total Account	Value			
Description	Symbol/Cusip Account Type	Quantity	Price on 03/31/19	Current Market Value	Estimated Arnual Income	
Equity VANGUARD WORLD FDS VANGUARD CONSUMER STAPLES ETF Estimated Yield 2.65% Dividend Option Reinvest Capital Gain Option Reinvest	NER VDC Cash	100.862	\$145.21	\$14,646.17	\$389.29	
Total Exchange Traded Products				\$14,646.17	\$389.29	
Total Securifies				\$257,129.22	\$3,461.31	
TOTAL PORTFOLIO VALUE				\$258,783.65	\$3,461.31	To provide the control of the contro

#### PURCHASES, SALES, AND REDEMPTIONS

the state of the s		
Amount		(\$37.96)
Quantity		2.713
Description		LOOMIS SAYLES STRATEGIC INC Y REINVEST @ \$13.9900
Transaction	and an artist of the second of	REINVESTMENT
Settlement Account Date Type	Securities Purchased	CASH
Settlement Date	Securitie	02/28/19 CASH

#### Royal Alliance Associates, Inc.

MN \_CEBGWBCPBBDQGPX\_BBBBC 20190329

(\$0.22)

0.22

ADVISOR GROUP INS DEPOSIT PROGRAM (LEVEL) NET INT REINVEST

(\$0.88)

0.88

(\$1,653.33)

1,653,33

ADVISOR GROUP INS DEPOSIT PROGRAM (LEVEL) QAGLQ IS LIQUID

(\$1,654.43)

## Statement for the Period March 1, 2019 to March 31, 2019

MARIA MULLER - Premiere Select IRA Account Number: RQ4-000810



PURCHASES, SALES, AND REDEMPTIONS confinited	THE STATE OF THE S	Fransaction	CASH REINVESTMENT PIMCO INCOME FUND INSTITUTIONAL 5.548 (\$66.30) FUND REINVESTED © \$11.95	CASH REINVESTMENT FIDELITY ADVISOR REAL ESTATE CL 0.309 (\$6.76)	CASH REINVESTMENT VANGUARD WORLD FDS VANGUARD 0.525 (\$75.00) CONSUMER STAPLES ETF REINVEST  @ \$142.9424 TRADE DATE 03-25-19	CASH REINVESTIMENT VANGUARD SMALL-CAP VALUE INDEX ADMIRAL REINVESTED @ \$54.75 AS OF 03/27/19	CASH REINVESTMENT FIDELITY ADVISOR STRATEGIC INC CL I REINVEST @ \$12.220	CASH REINVESTMENT GOLDMAN SACH US EQU DIVIDEND & 7.492 (\$94.62) PREM FD I REINVEST © \$12.6300	Total Securities Purchased (\$421.22)	Sold	CASH YOU SOLD FIDELITY GOVT MANKT DAILY MONEY (1,653.33) \$1,653.33 CLASS FZBXX TO QAGLQ	Total Securities Sold \$1,653.33	ACTIVITY > CORE FUND ACTIVITY	
SES, SALES,	Account								arities Parch	Sold		trities Sold	Y > CORE FI	Account
PURCHA	Settlement		02/28/19	03/08/19	03/26/19	03/27/19	03/29/19	03/29/19	rotal Seci	Securities Sold	03/11/19	Total Secu	ACTIVIT	Contact to the last to the las

#### REINVESTMENT YOU BOUGHT YOU BOUGHT CASH CASH CASH 03/29/19 03/29/19 03/11/19

TOTAL CORE FUND ACTIVITY

ADVISOR GROUP INS DEPOSIT PROGRAM (LEVEL) @ 1

Account entried with National Financial Services LLC, Member NYSE, SIPC

Royal Alliance Associates, Inc.

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## Statement for the Period March 1, 2019 to March 31, 2019

MARIA MULLER - Premiere Select IRA Account Number: RQ4-000810



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Settlement Date	Account Type	Transaction	Description	Quantily	Amount
Dividends	S				
02/28/19	CASH	DIVIDEND RECEIVED	LOOMIS SAYLES STRATEGIC INC Y		\$37.96
02/28/19	CASH	DIVIDEND RECEIVED	PIMCO INCOME FUND INSTITUTIONAL FUND		\$66,30
03/08/19	CASH	DIVIDEND RECEIVED	FIDELITY ADVISOR REAL ESTATE CL		\$6.76
03/26/19	CASH	DIVIDEND RECEIVED	VANGUARD WORLD FDS VANGUARD CONSUMER STAPLES ETF		\$75.00
03/27/19	CASH	DIVIDEND RECEIVED	VANGUARD SMALL-CAP VALUE INDEX ADMIRAL		896.23
03/29/19	CASH	DIVIDEND RECEIVED	FIDELITY ADVISOR STRATEGIC INC CL I DIVIDEND RECEIVED		344.35
03/29/19	CASH	DIVIDEND RECEIVED	FIDELITY GOVT MMKT DAILY MONEY CLASS DIVIDEND RECEIVED		\$0.88
03/29/19	CASH	DIVIDEND RECEIVED	GOLDMAN SACH US EQU DIVIDEND &		\$94.62
Total Dividends	vidends			w	\$422.10
Interest					
03/29/19	CASH	INTEREST RECEIVED	ADVISOR GROUP INS DEPOSIT PROGRAM (LEVEL)		\$0.22
Total Interest	terest				\$0.22
TOTAL	TOTAL INCOME			***	\$422.32

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## Statement for the Period March 1, 2019 to March 31, 2019

MARIA MULLER - Premiere Select IRA Account Number: RQ4-000810



#### ACTIVITY > BANK DEPOSIT DETAIL

determine the extent of available FDIC insurance. You'r Ending Balance at each Program Bank as of the end of this statement period is shown below. If you participate in a Bank Deposit Sweep Program and also hold a Bank Deposit Diect Investment, the Bank Deposit Detail section lists banks and ending balances for both programs. Funds pending settlement reflect deposits to (credit) or withdrawals from (debit) a Program Bank. Subject to the terms of the applicable bank deposit disciouners are reminded that funds are deposited to a Program Bank on the business day following the date that funds Bank deposits are not securities and are not covered by the Securities Investor Protection Corporation (SIPC), Customers are responsible for monitoring their total deposits at each Program Bank to are credited to your account and until swept to a Program Bank, funds are covered by SIPC.

Enoing Balance	\$1,653.55	\$0.88	\$1,654.43	
Balance	\$0.00		\$0.00	
Bank	Capital One Bank	Current Month's Pending Settlement	Total Bank Deposits	

### Miscellaneous Footnotes

Please note that large increases CHANGE IN VALUE OF YOUR PORTFOLIO is the change in market value of your portfolio assets over the time period shown. The portfolio assets include the market value of all the securities in the account opening or September 2011, whichever is later, to the current period. Please note that large in and/or declines in the change in the value of the portfolio can be due to additions, distribution and/or performance.

CHANGE IN VALUE reflects appreciation or depreciation of your holdings due to price changes plus any activity not reflected within Additions and Withdrawals, Income, Taxes, Fees and Expenses, Other Activity sections. Change in Value does not reflect activity related to assets in which NFS is not the custodian (e.g. Insurance and Annuities, Assets Held Away and Other Assets Held Away).

responsible for withdrawing RMDs on a timely basis, otherwise tax penalties may apply. You must calculate your RMD separately for each IRA you have at NFS and at any other financial institution. The RMD may be satisfied from this account or any other existing IRAs. If you need additional information or have any questions on how the RMD is calculated, please consult IRS Publication 590 or a tax professional. account. If your beneficiary information changed during the calendar year, your RMD calculation may be impacted. The calculation is based on information submitted to NFS by your broker/dealer. You are primary beneficiary information as of January 1st of the current calendar year, your life expectancy factor taken from the IRS Uniform Life Expectancy Table, and the prior year end value of your retirement REQUIRED MINIMUM DISTRIBUTION - As required by the Internal Reverue Service (IRS) and noted on your Form 5498, you must take minimum required distributions (RMD) by April 1st of the calendar year following the year in which you turn 70 1/2. Subsequent withdrawals must be completed by December 31st every year thereafter. The RMD Amount for this account was calculated based upon your

CALLABLE SECURITIES LOTTERY - When street name or bearer securities held for you are subject to a partial call or partial redemption by the issuer, NFS unitizes an impartial tottery allocation system, in accordance with applicable rules, that randomly selects the securities within customer accounts that will be called/redeemed. NFS' allocations are not made on a pro rate basis and it is possible for you to receive a full or partial allocation, or no allocation. You have the right to withdraw uncelled fully paid securities at any time prior to the cutoff date and time established by the issuer, transfer agent and/or depository with respect to the partial call, and also to withdraw excess margin securities provided your account is not subject to restriction under Regulation T or such withdrawal will not cause an undermargined condition.

PRICING INFORMATION - Prices displayed are obtained from sources that may include pricing vendors, broker/dealers who clear through NFS and/or other sources. Prices may not reflect current fair market ratue and/or may not be readify marketable or redeemable at the prices shown. FOREIGN EXCHANGE TRANSACTIONS - Some transaction types necessitate a foreign currency exchange (FX) in order to settle. FX transactions may be effected by Fidelity Forex, Inc., on a principal basis. Fidelity Forex, Inc., an affiliate of NFS, may impose a commission or markup on the prevailing interbank market price, which may result in a higher price to you. Fidelity Forex, Inc. may share a portion of any FX commission or markup with NFS. More favorable rates may be available through third parties not affiliated with NFS. The rate applicable to any transaction involving an FX is available upon request FX commission of manager through your broker-dealer

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unregistered investment contracts, futures accounts, loaned securities and other investments may not be covered

1-202-371-8300. Funds used to purchase or sweep to a bank deposit are SIPC protected until deposited to a

Program Bank at which time funds may be eligible for FDIC insurance. Assets Held Away, commodities,

Precious metals are not covered by SIPC protection. Mutual funds and/or other securities are not backed or guaranteed by any bank, nor are they insured by the FDIC and involve investment risk including possible loss of

to your Margin Account on a weekly basis. Market Value - The Total Market Value has been calculated out to 9 decimal places, however, the individual unit price is displayed in 5 decimal places. The Total Market Value market increases or decreases from the original sale price will be marked to the market and will be transferred current market quotes, but when such quotes are not available the pricing vendors use a variety of techniques Market Vatue of a security, including those priced at par value, may differ from its purchase price and may not represents prices obtained from various sources, may be impacted by the frequency in which such prices are security, including liquidity risk. The prices provided are not firm bids or offers. Certain securities may reflect
"NAA" or "unavailable" where the nrine for each securities may reflect decimal places, however, the individual unit price is displayed in 5 decimal places. The Total Market Value or "unavailable" where the price for such security is generally not available from a pricing source. The minimum principal amounts (e.g. \$1 million) and may not reflect all of the factors that affect the value of the reported and such prices are not guaranteed. Prices received from pricing vendors are generally based on OSSARY Short Account Balances - If you have sold securities under the short sale rule, we have, in accordance with regulations, segregated the proceeds from such transactions in your Short Account. Any to estimate value. These estimates, particularly for fixed income securities, may be based on certain

inaccuracy or discrepancy regarding your brokerage account or the activity therein should be directed to your CUSTOMER SERVICE: Please review your statement and report any inaccuracy or discrepancy immediately by calling the telephone number of your broker-dealer reflected on the front of this statement. Reports of any inaccuracy or discrepancy regarding your brokerage account or the activity therein should be directed to your broker-dealer at the telephone number and address reflected on the front of this statement and National Financial Services LLC ("NFS").

contact NFS at (800) 801-9942. Any oral communications regarding inaccuracies or discrepancies should be reconfirmed in writing to protect your rights, including those under the Securities Investor Protection Act ("SIPA"). When contacting either your broker-dealer or NFS, remember to include your entire brokerage account number to NFS carries your brokerage account and acts as your custodian for funds and securities that are deposited with by you or your broker-dealer. In addition to your initial contact with your broker-dealer you may

ADDITIONAL INFORMATION Free credit balances ("FCB") are funds payable to you on demand, FCB are subject to open commitments such as uncleared checks and exclude proceeds from sales of certificated securities without delivery of the certificate. If your FCB is swept to a core position, you can liquidate the core position and have the proceeds sent to you or held in your account subject to the terms of your account agreement. Required rule 10b-10(a) information not contained herein will be provided on written request. Fidelity may use this free credit balance in connection with its business, subject to applicable law.

Credit Adjustment Program. Accountholders receiving payments in lieu of qualified dividends may not be

reserves the right to deny the adjustment to any accountholder and to amend or terminate the credit adjustment eligible to receive credit adjustments intended to help cover additional associated federal tax burdens. NFS

may be subject to change. Information for certain securities may be missing if not received from third parties in time for printing. NFS is not responsible for inaccurate, incomplete, or missing information. Please consult your broker-dealer for more information about expected stock split, next dividend payable, and next interest payable for Assignments of American and European-style options are allocated among customer short positions pursuant to a random allocation procedure, a description of which is available upon request. Short positions in American-style options are liable for assignment at any time. The writer of a European-style option is subject to exercise assignment only during the exercise period. You should advise your broker-dealer promptly of any material change in your investment objectives or financial situation. Splits, Dividends, and Interest. Expected program.

Options Customers, Each transaction confirmation previously delivered to you contains full information about commissions and other charges. If you require further information, please contact your broker-dealer. stock split, next dividend payable, and next interest payable information has been provided by third parties and

time of the transactions, the exchange upon which these transactions occurred and the name of the person from whom the security was purchased will be furnished upon written request. NFS may have acted as market maker in effecting trades in 'over-the-counter' securities.

Retirement Contributions/Distributions. A summary of retirement contributions/distributions is displayed for you in the activity summary section of your statement. Income Reporting, NFS reports earnings from investments in Traditional IRAs. Rollover IRAs, SEP-IRAs and, Keoghs as tax-deferred income. Earnings from Depository Trust Company (DTC) dividend reinvestment program. For broker-dealer effected transactions, the certain securities. Equity Dividend Reinvestment Customers. Shares credited to your brokerage account resulted from transactions effected as agent by either: 1) Your broker-dealer for your investment account, or 2) through the

requirement and certain other conditions. A financial statement of NFS is available for your personal inspection at its office or a copy of it will be mailed to you upon your written request.

Statement Mailing. NFS will deliver statements by mail or, if applicable, notify you by e-mail of your statement's Roth IRAs are reported as tax-free income, since distributions may be tax-free after meeting the 5 year aging

availability, if you had transactions that affected your cash balances or security positions held in your account(s) during the last monthly reporting period. At a minimum, all brokerage customers will receive quarterly statements (at least four times per calendar year) as long as their accounts contain a cash or securities batance. Loads and Fees, in connection with (i) access to, purchase or redemption of, and/or maintenance of positions in mulual funds and other investment products ("funds") or (ii) infrastructure needed to support such funds, some lunds, or their investment affiliates, pay your introducing broker dealer and/or NFS sales loads and 12b-1 fees

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Estimated Annual Income (EAI) & Estimated Yield (EY) - EAI for fixed income is calculated using the coupon closely reflect the value at which the security may be sold or purchased based on various market factors. investment decisions should be made only after consulting your broker-dealer.

a security's dividend payments for the next 12 months calculated based on prior and/or declared dividends for that

EY reflects only the income generated by an investment and not changes in its price which may

security.

fluctuate. Interest and dividend rates are subject to change at any time and may be affected by current and future

economic, political and business conditions. EAI and EY are estimates only and may include return of principal

rate. For all other securities, EAI is calculated using an indicated annual dividend (IAD). The IAD is an estimate of

only and should not be used or relied on for making investment, trading or tax decisions. EAI and EY are based on data obtained from information providers believed to be reliable, but no assurance can be made as to accuracy, timeliness or completeness. and/or capital gains, which would render them overstated. EAI and EY are provided for informational purposes

emount(s) of compensation as well as other remuneration received by your introducing broker deater and/or NFS account, if applicable, and (6) maintaining required books and records for the services that it performs. NFS shall, at the direction of your broker-dealer: (1) execute, clear and settle transactions processed through NFS compliance with federal, industry and NFS margin rules, and for advising you of margin requirements. NFS shall maintain the required books and records for the services it performs. Securities in accounts carried by NFS are protected in accordance with the Securities Investor Protection Corporation ("SIPC") up to \$500,000. The \$500,000 total amount of SIPC protection is inclusive of up to \$250,000 protection for claims for eash, subject to margin accounts maintained for you under Section 220.5 of Regulation T issued by the Board of Governors of the regulations, customs, usages, rulings and interpretations of the exchange market and its clearing house, if any, where the transactions are executed, and of the New York Stock Exchange (NYSE) and of the Financial industry Regulatory Authority ("FINRA"). The FINRA requires that we notify you in writing of the availability of an investor brochure that includes information describing FINRA Regulation's BrokerCheck Program ("Program"). To obtain a brochure or more information about the Program or FINRA Regulation, contact the FINRA Regulation BrokerCheck Program Hotline at (800) 289-2999 or access the FINRA's web site at www.finra.org. FINRA Rule your account as collateral for any outstanding margin loan. The amount you may borrow is based on the value of Federal Reserve Board. The permanent record of the separate account, as required by Regulation T. is available for your inspection upon request. NYSE and FINRA, All transactions are subject to the constitution, rules, compliance with applicable laws and regulations including compliance with margin rules pertaining to your margin by your broker-dealer, (2) prepare and send transaction confirmations and periodic statements of your brokerage information may be provided by your broker-dealer or obtained from third parties deemed to be reliable, however the market value of securities, nor does either coverage extend to certain securities that are considered ineligible margin privileges and been approved, you may borrow money from NFS in exchange for pledging the assets in periodic adjustments for inflation in accordance with terms of the SIPC statute and approval by SIPC's Board of Directors. NFS also has arranged for coverage above these limits. Neither coverage protects against a decline securities in your margin account, which is identified on your statement. If you have a margin account, this is a this information has not been verified by NFS, (3) act as custodian for funds and securities received by NFS on (1) obtaining and verifying brokerage account information and documentation, (2) opening, administration of your brokerage account. The following is a summary of the allocation services performed by warr broker-dealer and NFS. A more complete description is available upon request. Your broker-dealer is your behalf, (4) follow the instructions of your broker-dealer with respect to transactions and the receipt and delivery of funds and securities for your brokerage account, and (5) extend margin credit for purchasing or carrying securities on margin. Your broker-dealer is responsible for ensuring that your brokerage account is in will be furnished to you upon written request. At time of purchase fund shares may be assigned a load, transaction fee or no transaction fee status. At time of sale, any fees applicable to your transaction will be assessed based on the status assigned to the shares at time of purchase. Margin. If you have applied for instructions to NFS with respect to your brokerage account, (4) determining the suitability of investment recommendations and advice, (5) operating, and supervising your brokerage account and its own activities in combined statement of your margin account and special memorandum account other than your non-purpose described in the prospectus as well as additional compensation for shareholder services, start-up fees, infrastructure support and maintenance, and other programs. Additional information about the source(s) and approving and monitoring your brokerage account, (3) transmitting timely and accurate orders and other 4311 requires that your broker-dealer and NFS allocate between them certain functions regarding the account (unless your broker-dealer has undertaken to do so). Certain securities pricing and descriptive for coverage. For more details on SIPC, or to request a SIPC brochure, visit www.stpc.org or call responsible for:

principal. End of Statement

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